

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

---

## General Information

Agency or Establishment	Drug Enforcement Administration
Record/Scheduling Group	0170 - Records of the Drug Enforcement Administration
Records Schedule Applies To	Agency-wide
Schedule Subject	Inspections
Additional Schedule Information	These files relate to the review of DEA's processes, assets, facilities, information, and personnel; subsequent corrective actions for noted deficiencies; DEA's final determination; safeguarding and disseminating classified information; security measures taken for the protection of Government and privately operated facilities; and security of personnel authorized access to any Government resources. All DEA offices will maintain these records, to include: Offices of Inspections, Information, Administration, Personnel, Intelligence, and Enforcement.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

---

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

---

## Item Count

Total number of disposition items: 6

Number of Temporary disposition items: 4

Number of Permanent disposition items: 2

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 1

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

---

Outline of Records Schedule Items for DAA-0170-2017-0007

<b>Item #</b>	<b>Title</b>	<b>Disposition</b>
0001	Audit and Inspection Files	Temporary
0002	DEA Employee Security Files	Temporary
0003	Integrity Files	Temporary
0004	Shooting Files	Temporary
0005	External Audit and Inspection Files	Permanent
0006	Internal Compliance Evaluation Files	Permanent

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

Records Schedule Items

<b>DAA-0170-2017-0007-0001</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
<b>Item Title</b>	<b>Audit and Inspection Files</b>	
<b>Item Description</b>	<p>Records relating to reviewing and examining DEA offices to ensure proper protection of assets; compliance with policies, procedures, and objectives; effectiveness of DEA functions that have commercial counterparts for the purpose of finding the most cost efficient method of performing the activity, including contracting the activity; implementation of corrective actions for each assessable unit identified in the inventory of DEA components, programs, and administrative functions; and the accuracy, propriety, legality, and reliability of actions taken primarily in connection with the use of assets. Accumulation of these records results from DEA field and headquarters offices reviewing their own operations; the Office of Inspections conducting on-site reviews of these office activities; the Office of Compliance performing compliance evaluations of programs or functions; and federally mandated requirements such as: OMB A-76, A-123, and A-130. May include, but is not limited to: final reports from Office of Inspections, copies of final reports from Office of Compliance, evidentiary documentation, corrective action status updates, analysis, interrogatories, studies, lists, surveys, recommendations, associated training records, and correspondence.</p>	
<b>Is this item media neutral?</b>	Yes	
<b>Is this item a Big Bucket?</b>		
<b>MANUAL CITATION</b>		
<b>Agency Code</b>	1610	
<b>Manual Title</b>	DEA Records Information System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
<b>Does this item supersede existing disposition authorities?</b>	Yes	
	<b>Superseded Items</b>	
<b>Superseded Item</b>	<b>Item Superseded in Part?</b>	<b>Explanation</b>
N1-170-01-003 / 250-01/a/1/b	No	
N1-170-01-003 / 250-01/a/2/a	No	
N1-170-01-003 / 250-01/a/2/b	No	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

N1-170-01-003 / 250-01/a/3/b	No
N1-170-01-003 / 250-01/b/1/b	No
N1-170-01-003 / 250-01/b/2/a	No
N1-170-01-003 / 250-01/b/2/b	No
N1-170-01-003 / 250-01/b/3/a	No
N1-170-01-003 / 250-01/b/3/b	No
N1-170-04-002 / 170-08/a/1	No
N1-170-04-002 / 170-08/a/2	No
N1-170-04-002 / 170-08/b	No
N1-170-86-001 / 180-02/a	No
N1-170-86-001 / 180-02/b	No
N1-170-86-001 / 180-03/a	No
N1-170-86-001 / 180-03/b	No
N1-170-86-001 / 180-04/a	No
N1-170-86-001 / 180-04/b	No
N1-170-86-001 / 180-05/a	No
N1-170-86-001 / 180-05/b	No
N1-170-86-001 / 180-06/a	No
N1-170-86-001 / 180-06/b	No
N1-170-86-001 / 180-07/a	No
N1-170-86-001 / 180-07/b	No
N1-170-86-001 / 180-10/a	No
N1-170-86-001 / 180-10/b	No
N1-170-86-001 / 180-12/a	No
N1-170-86-001 / 180-12/b	No
N1-170-86-001 / 180-14/a	No
N1-170-86-001 / 180-14/b	No
N1-170-86-001 / 180-15/a	No
N1-170-86-001 / 180-15/b	No
N1-170-86-001 / 180-16/a	No
N1-170-86-001 / 180-16/b	No
N1-170-86-001 / 180-17/a	No
N1-170-86-001 / 180-17/b	No
N1-170-86-001 / 180-18/a	No
N1-170-86-001 / 180-18/b	No
N1-170-86-001 / 180-19/a	No
N1-170-86-001 / 180-19/b	No
N1-170-86-001 / 180-20/a	No
N1-170-86-001 / 180-20/b	No
N1-170-86-001 / 180-21/a	No
N1-170-86-001 / 180-21/b	No

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

N1-170-86-001 / 180-22/a	No
N1-170-86-001 / 180-22/b	No
N1-170-86-001 / 180-23/a	No
N1-170-86-001 / 180-23/b	No
N1-170-86-001 / 180-25/a	No
N1-170-86-001 / 180-25/b	No
N1-170-86-001 / 180-26/a	No
N1-170-86-001 / 180-26/b	No
N1-170-86-001 / 180-27/a	No
N1-170-86-001 / 180-27/b	No
N1-170-86-001 / 180-33/a	No
N1-170-86-001 / 180-33/b	No
N1-170-86-001 / 180-35/a	No
N1-170-86-001 / 180-35/b	No
N1-170-89-001 / 190-06	No
N1-170-89-001 / 190-07	No
N1-170-89-001 / 190-08/a/2	No
N1-170-89-001 / 190-08/b	No
N1-170-89-001 / 480-04	No
N1-170-94-001 / 140-04/a/1	No
N1-170-94-001 / 140-04/a/2	No
N1-170-94-001 / 140-04/b	No
N1-170-94-001 / 170-03	No
N1-170-94-001 / 170-06/a/2	No
N1-170-94-001 / 170-06/b	No
N1-170-94-001 / 170-07	No
NC1-170-77-001 / 510-02	No
DAA-0170-2015-0003-0001 (In Part)	No
Copies of documents furnished to external entities such as the Government Accountability Office and the Department of Justice, Office of Inspector General.	
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off at completion of final action.
Retention Period	Destroy 15 year(s) after completion of final review
<b>ADDITIONAL INFORMATION</b>	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

Are any of the records covered by this item national security classified?	
GAO Approval Required	No

<b>DAA-0170-2017-0007-0002</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	DEA Employee Security Files
Item Description	Records reflecting attacks or threats of attacks against DEA employees, facilities, and assets including acts of terrorism. May include, but not limited to: transcripts, reports, violations, and correspondence.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	1621
Manual Title	DEA Records Information System (DEARIS) Handbook
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded in Part? Explanation
N1-170-89-001 / 210-08	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off upon final action.
Retention Period	Destroy 5 year(s) after cut off.
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

<b>DAA-0170-2017-0007-0003</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Integrity Files

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

Item Description	Records related to investigations by the Office of Professional Responsibility, involving criminal or civil violations of laws, departmental codes or DEA regulations, and integrity and security matters. May include, but not limited to: personnel integrity files, polygraph files, accident and incident files, adverse action files, and positive drug test result files.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	1630	
Manual Title	DEA Records Information System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-170-04-001 / 1	No	
N1-170-89-001 / 201-03/a	No	
N1-170-89-001 / 201-03/b	No	
N1-170-89-001 / 201-04/a	No	
N1-170-89-001 / 201-04/b	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at close of case.	
Retention Period	Other: Destroy 20 year(s) after close of investigation or 1 year after close of investigation, if investigation remained open beyond 20 years.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0170-2017-0007-0004	<b>STATUS: INACTIVE - NOT FOR USE</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Shooting Files

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

Item Description	Records documenting incidents where force was used by DEA or task force officers. May include, but is not limited to: reported details of the incident, testimony, training certification documents, interim and final reports.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	1640	
Manual Title	DEA Records Information System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-170-94-001 / 170-04/a	No	
N1-170-94-001 / 170-04/b	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
<b>DO NOT USE. This item is inactive because it was superseded by New Disposition Authority Number: DAA-0060-2022-0037-0004 on 01/21/2025.</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at the close of the investigation.	
Retention Period	Destroy 10 year(s) after cut off.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0170-2017-0007-0005	STATUS: Active
<b>ITEM GENERAL INFORMATION</b>	
Item Title	External Audit and Inspection Files

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

<b>Item Description</b>	Records that document DEA's response to a review of DEA programs, operations, and procedures conducted by external entities such as the Government Accountability Office and the Department of Justice, Office of Inspector General. May include but not limited to: copy of final findings or recommendations, response to findings, follow up progress reports, supporting information to assertions, memorandums, system print outs, communications between DEA and external entity, and related documents provided to external entities following the issuance of final audit report. This schedule excludes copies of documents provided during the initial audit or investigation.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	1670	
Manual Title	DEA Records Information System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	<b>Superseded Items</b>	
<b>Superseded Item</b>	<b>Item Superseded in Part?</b>	<b>Explanation</b>
DAA-0170-2015-0003-0001 (In Part) Audits, inspections, reviews, and other assessments of DEA programs, operations, and procedures conducted by external entities such as the Government Accountability Office and the Department of Justice, Office of Inspector General.	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Permanent	
Cutoff Instructions	Other: Cut off upon submission of final action.	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 15 year(s) after cut off	
<b>ADDITIONAL INFORMATION</b>		
Approximate first year of records covered by this authority	2015	
Date span of the initial transfer	From: --/--/1977 To: --/--/2020	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

Frequency of transfer	1
Are any of the records covered by this item subject to a FOIA exemption?	

DAA-0170-2017-0007-0006		STATUS: Active
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Internal Compliance Evaluation Files	
Item Description	Records that document the evaluation of DEA operations for compliance with policies and guidelines. These records reflect the review of establishment, performance, progress, accomplishments, deficiencies, needs, and problems in relation to the goals or objectives for the program being evaluated or may be limited in scope to specific aspects of a program. Included are final reports, executive summaries, recommendations, corrective actions, and related correspondence. This schedule excludes copies of documents provided during the initial evaluation.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	1660	
Manual Title	DEA Records Information System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-170-89-001 / 190-08/a/1	No	
N1-170-94-001 / 170-06/a/1	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Permanent	
Cutoff Instructions	Other: Cut off upon submission of final action.	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 15 year(s) after cut off.	
<b>ADDITIONAL INFORMATION</b>		
Approximate first year of records covered by this authority	1987	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

---

Date span of the initial transfer	From: --/--/2012 To: --/--/2017
Frequency of transfer	5
Are any of the records covered by this item subject to a FOIA exemption?	

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0007

Status: APPROVED  
Date Approved: 01/25/2021

---

Signatory Information

Action	User	Date
Approve	David Ferriero	01/25/2021